

**MAIL STOP PCT**

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Docket No. 285118US0PCT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Noboru OSHIMA, et al.

SERIAL NO: 10/568,423

GAU:

FILED: February 14, 2006

EXAMINER:

FOR: PROCESS FOR PRODUCING CYCLOOLEFIN ADDITION POLYMER

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97**COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

**REFERENCES**

- ☒ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**RELATED CASES**

- ☐ Attached is a list of applicant's pending application(s), published application(s) or issued patent(s) which may be related to the present application. In accordance with the waiver of 37 CFR 1.98 dated September 21, 2004, copies of the cited pending applications are not provided. Cited published and/or issued patents, if any, are listed on the attached PTO form 1449.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**CERTIFICATION**

- ☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

**DEPOSIT ACCOUNT**

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

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Form PTO 1449 (Modified)		DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. 285118US0PCT		SERIAL NO. 10/568,423	
LIST OF REFERENCES CITED BY APPLICANT				APPLICANT Noboru OSHIMA, et al.			
FILING DATE February 14, 2006				GROUP			
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE	
	AA	6 455 650	9/24/2002	LIPIAN, John-Henry et al.			
	AB	3 330 815	7/11/1967	MCKEON, James E. et al.			
	AC						
	AD						
	AE						
FOREIGN PATENT DOCUMENTS							
	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES NO			
	AF	05-262821	10/12/1993	JP(with English abstract , equivalent of US 5 629 368 , 5 648 443 & 5 693 726)			NO
	AG	00/20472	4/13/2000	WO			NO
	AH	10-130323	5/19/1998	JP(with English abstract & equivalent of EP 0 837 079)			NO
	AI	2001-098035	4/10/2001	JP(with English abstract)			NO
	AJ						
	AK						
	AL						
	AM						
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)							
	AN	JANIAK, Christoph et al., "The Vinyl Homopolymerization of Norbornene", <i>Macromol. Rapid Commun.</i> , Vol. 22, Pages 479-492, 2001.					
	AO	SCHULTZ, Robert G., "The Chemistry of Palladium Complexes. III. The Polymerization of Norbornene Systems Catalyzed By Palladium Chloride (1)", <i>Polymer Letters</i> , Vol.4, Pages 541-546, 1966.					
	AP	BREUNIG, Stefan et al., "Transition-metal-catalyzed vinyl addition polymerizations of norbornene derivatives with ester groups", <i>Makromol. Chem.</i> , Vol. 193, Pages 2915-2927, 1992.					
	AQ	SAFIR, Adam L. et al., "Living 1,2-Olefin-Insertion Polymerizations Initiated by Palladium(II) Alkyl Complexes: Block Copolymers and a Route to Polyacetylene-Hydrocarbon Diblocks", <i>Macromolecules</i> , Vol. 28, Pages 5396-5398, 1995.					
	AR	MATHEW, Joyce P. et al., "( $\eta^3$ -Allyl) Palladium (II) Nitrile Catalysts for the Addition Polymerization of Norbornene Derivatives with Functional Groups", <i>Macromolecules</i> , Vol. 29, Pages 2755-2763, 1996.					
	AS	REINMUTH, Annette et al., "( $\eta^3$ -Allyl) Palladium (II) catalysts for the addition polymerization of norbornene derivatives with functional groups", Vol. 17, Pages 173-180, 1996.					
	AT	HEINZ, B. S. et al., "Poly (norbornene carboxylic acid ester) s: Synthesis and Properties", <i>Acta Polymer</i> , Vol. 48, Pages 385-391, 1997.					
	AU	HEINZ, Beate S. et al., "Pd (II)-catalyzed vinylic polymerization of norbornene and copolymerization with norbornene carboxylic acid esters", <i>Macromol. Rapid Commun.</i> , Vol. 19, Pages 251-256, 1998.					
	AV	GROVE, Nicole R. et al., "Functionalized Polynorbornene Dielectric Polymers: Adhesion and Mechanical Properties", <i>Journal of Polymer Science: Part B: Polymer Physics</i> , Vol. 37, Pages 3003-3010, 1999.					
	AW	HENNIS, April D. et al., "Novel, Efficient, Palladium-Based System for the Polymerization of Norbornene Derivatives: Scope and Mechanism", <i>Organometallics</i> , Vol. 20, Pages 2802-2812, 2001.					
	AX	SON, Seung Uk et al., "Use of the Pauson-Khand Reaction Products as Monomers in the Palladium (II)-Catalyzed Homopolymerization and Copolymerization of Norbornene Derivatives", <i>Journal of Polymer Science: Part A: Polymer Chemistry</i> , Vol. 41, Pages 76-83, 2003.					
	AY	LIPIAN, John et al., "Addition Polymerization of Norbornene-Type Monomers. High Activity Cationic Allyl Palladium Catalysts", <i>Macromolecules</i> , Vol. 35, Pages 8969-8977, 2002.					
	AZ	<input type="checkbox"/> Additional References sheet(s) attached					
Examiner				Date Considered			

\*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

U.S. PCT Application Serial No: 10/568,423  
Filed: February 14, 2006  
Noboru OSHIMA, et al.  
Docket No. 285118 US



#### STATEMENT OF RELEVANCY

- 1) References            have been cited in the International Search Report. A copy of these references is being submitted herewith.
- 2) References            have been cited in the corresponding            Search Report. A copy of these references is being submitted herewith.
- 3) References AA & AB, AF-AI & AN-AY are discussed in the specification. A copy of these references is being submitted herewith.
- 4) References            are additional prior art known to Applicant. A copy of these references is being submitted herewith.